

STATE OF ARIZONA
DIVISION OF EMERGENCY MANAGEMENT



PUBLIC ASSISTANCE
ADMINISTRATIVE PLAN

SEPTEMBER 2006

**STATE OF ARIZONA
DIVISION OF EMERGENCY MANAGEMENT
PUBLIC ASSISTANCE ADMINISTRATIVE PLAN**

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**STATE OF ARIZONA
DIVISION OF EMERGENCY MANAGEMENT
PUBLIC ASSISTANCE ADMINISTRATIVE PLAN**

I. AUTHORITY

A. State

1. A.R.S. § 26-301 through 317 and A.R.S. § 35-192
2. A.A.C. Title 8, Section 2; Department of Emergency and Military Affairs, Division of Emergency Management
3. Governor's Executive Orders 76-7, 77-6, and 79-4
4. State of Arizona Emergency Response and Recovery Plan

B. Federal

1. Public Law 93-288, as amended by Public Law 100-707
2. FEMA Regulation, 44 CFR Part 206
3. FEMA Regulation, 44 CFR Part 13
4. FEMA Regulation, 44 CFR Part 14
5. Executive Order 11988, Floodplain Management
6. Executive Order 11990, Protection of Wetlands
7. Executive Order 12612, Federalism
8. Disaster Mitigation Act 2000

II. PURPOSE

The purpose of this plan is to identify the roles and responsibilities of the State of Arizona in administering the Public Assistance program, to outline staffing requirements and the policies and procedures to be used.

III. SITUATION AND ASSUMPTIONS

See the State of Arizona, Emergency Response and Recovery Plan, Basic Plan, Section III.

IV. CONCEPT OF OPERATIONS

A. General

See the State of Arizona, Emergency Response and Recovery Plan, Basic Plan, Section IV.

B. Definitions

1. **Applicant:** A political subdivision of the State of Arizona, government agency or other legal entity which receives an award and which is accountable to the Grantee (State of Arizona) for the use of the funds provided. Also referred to as the sub-grantee.
2. **Project Worksheet (PW):** (FEMA Form #90-91) Form used to record the eligible work and prepare a quantitative estimate.
3. **Joint Field Office (JFO):** A temporary facility established in a Presidentially declared disaster area to serve as the field headquarters for ADEM and FEMA recovery

personnel and as the focal point for disaster operation, direction, coordination and information.

4. **US Department of Homeland Security, Federal Emergency Management Agency (DHS/FEMA):** The Federal agency responsible for coordinating disaster recovery efforts. The term used in this plan when referring to the Regional Director, or the Disaster Recovery Manager, of FEMA Region IX.
5. **Grantee:** The State of Arizona, Arizona Division of Emergency Management (ADEM).
6. **Hazard Mitigation:** Any cost effective measure, which will reduce the potential for damage to a facility from a disaster event.
7. **Request for Public Assistance:** (FEMA Form #90-49) The form used by potential applicants, State agencies, and local governments and or governmental entities to apply for Public Assistance.
8. **Special Considerations:** (FEMA Form #90-120) Issues that involve insurance, floodplain management, hazard mitigation, historic preservation and environmental reviews as they relate to Public Assistance program funding.

V. ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

A. Organization

The Governor of the State of Arizona has designated the Arizona Division of Emergency Management, as the State office responsible for managing and administering the Public Assistance program. These responsibilities include, but are not limited to:

1. Notify potential applicants.
2. Conduct applicant briefings.
3. Assign a State Public Assistance Coordinator (PAC) to work with the applicant.
4. Set up the Kick-off Meeting.
5. Determine eligibility of applicant, facility, work and costs.
6. Prepare Project Worksheets and enforce Special Considerations requirements.
7. Request Immediate Needs Funding on behalf of the applicants (when applicable).
8. Identify projects for hazard mitigation.
9. Process requests for time extensions, improved projects, advances and reimbursements.
10. Make recommendations to FEMA on appeals, improved and alternate project requests.
11. Comply with administrative requirements of 44 CFR Parts 13 and 206 and audit requirements of 44 CFR Part 14.
12. Secure insurance information from applicants when required.
13. Review and approve project completion information.
14. Conduct quarterly reviews, site inspections and audits, as required to ensure program compliance and provide quarterly progress reports to FEMA regarding the status of unfinished large projects.
15. Determine budget and staff requirements necessary for proper program management.
16. Provide to DHS/FEMA quarterly financial status reports, which include the State and local contributions to small and large projects for open disasters.

B. Assignment of Responsibilities

1. **Governor's Authorized Representative (GAR)** - The person designated by the Governor to execute all necessary documents for disaster assistance programs on behalf of the State and local grant recipients. The GAR is responsible for State compliance with the FEMA-State Agreement. The GAR may also be designated as the State Coordinating Officer.
2. **State Coordinating Officer (SCO)** - The person designated by the Governor to coordinate State and local disaster assistance efforts with that of the Federal government. The SCO may also be designated as the GAR.

VI. ADMINISTRATION AND SUPPORT

A. Administrative Support Staff - Since staffing requirements vary depending on the magnitude, type and extent of the disaster, the following personnel may be used to assist the Governor's Authorized Representative/State Coordinating Officer in meeting program administrative requirements.

1. **Public Assistance Officer (PAO)** - The person responsible for administering the Public Assistance Program. The PAO will be a member of the ADEM staff.
2. **Applicant Liaison, State Resource Coordinators, State Project Officers, State Program Specialists, State Technical Specialists** - Qualified personnel from applicable State agencies may assist the State Emergency Management staff in determining legal matters, assigning State staff in the Resource Pool, assessing damages, preparing and reviewing Project Worksheets and conducting interim and final inspections when necessary. In certain situations, members of the ADEM staff and/or State Reservists may fill the role of the State inspector.
3. **State Reservists** - Trained contract personnel who assist the ADEM recovery staff in performing Public Assistance program functions. ADEM maintains a current listing of State Reservists who are assigned to and receive annual training in specific program areas.
4. **Accountant** - The person qualified to assist the ADEM recovery staff and perform professional accounting work in Public Assistance programs.
5. **Other Administrative Support Personnel**
 - a. Resource Coordinator
 - b. Administrative Assistant(s)

B. Staff Funding - The initial cost for additional administrative support personnel will be incurred by ADEM. A claim for reimbursement will be submitted to FEMA in accordance with the management and administrative cost provisions of 44 CFR 206.228.

VII. DIRECTION AND CONTROL

A. Post Declaration Activities

1. **Notifying Potential Applicants** - ADEM Liaison Officer(s), ADEM Public Information Officer(s), County Manager, City Manager and County/City Emergency Management Coordinator(s) will be utilized to notify potential applicants of the assistance that is

available and the time and date of the applicant's briefing which will be held in their area.

2. **Applicant Briefing** - Once a designated area has been approved for Public Assistance, members of the ADEM Recovery staff will conduct an applicant's briefing. The number of potential applicants and the area involved in the disaster will determine the number of briefings held. Attachment 1 to this plan outlines the information that will be covered during the Applicant's Briefing.
 - a. **Request** - The applicant will be required to submit a Request within 30 days from the date their county was approved for Public Assistance. Requests that are submitted after this 30-day period will be reviewed on a case-by-case basis and, if warranted, will be forwarded to FEMA for consideration. If necessary, ADEM may request that the deadline for filing Requests be extended.
 - b. **Applicant's Agent** - An applicant's Chief (Elected) Official will be required to designate an agent, Attachment 2, in writing who will be the applicant's point of contact for all matters pertaining to their application for federal assistance.
3. **Kick-Off Meeting** – Meeting scheduled following the applicant's briefing to provide the applicant with in-depth information required to meet specific requirements of the Public Assistance program. It is during this meeting that the applicant is advised of what records must be kept. Cost estimating procedures, special considerations and project grouping are reviewed and the project validation process is explained. At this meeting the applicant is expected to provide a list of specific damages with costs. This meeting is also considered the initial inspection date that starts the time limitation for reporting additional damage.
4. **Applicant Eligibility** - ADEM will assist DHS/FEMA in screening all potential applicants for eligibility. Eligible applicants under the Public Assistance program are:
 - a. State agencies and political subdivisions of the State.
 - b. Private Non-Profit (PNP) organizations that have an IRS tax exemption letter and/or a State PNP certification (i.e. Articles/Certificate of Incorporation). Special utility districts must provide a copy of the Legislation that grants the district taxing authority. Eligible PNP organizations must own or operate educational, utility, emergency, medical, custodial care, or essential governmental service facilities. Essential governmental service facilities are defined as museums, zoos, community centers, libraries, homeless shelters, senior citizen centers, rehabilitation facilities, shelter workshops, and other facilities which provide a health and safety service of a governmental nature. All such facilities must be open to the general public.

B. Project Worksheet Preparation

1. The State will participate in the Public Assistance process by:
 - a. Assigning State Public Assistance Coordinators (PAC) or Project Officers (PO).
 - b. Participating in the project validation process.

- c. Providing State technical support personnel to assist with highly technical projects or resolve disputes.
 - d. Assisting the applicant in identifying hazard mitigation opportunities as provided by Section 406 of the Stafford Act. (Such mitigation measures will reduce or eliminate the threat of future damage to a facility damaged during the disaster.)
- 2. The applicant will be required to provide a local inspector who will accompany the State inspection team during the PW preparation process. The local inspector will be:
 - a. Responsible for providing a list of damages and costs for small projects and encouraged to develop the small projects. The small/large project threshold is adjusted annually on October 1 to reflect changes in the Consumer Price Index for all Urban Consumers and published by FEMA in the Federal Register.
 - b. Responsible for identifying large projects.
 - c. Responsible for resolving and submitting insurance coverage and settlements.
 - d. Identifying hazard mitigation opportunities.
- 3. ADEM will report any significant damage that is not shown to the inspection team to FEMA within 60 days of the initial inspection. If warranted, ADEM may request an extension of time in order to report additional damage.
- 4. ADEM will notify FEMA of re-inspections required or requested by an applicant.

D. Public Assistance Administration

- 1. **Grant Approval** - ADEM will submit an "Application for Federal Assistance" (SF 424), and an "Assurances for Construction" Programs (SF 424D), to DHS/FEMA in order to receive Federal funding. Approved PW's will be the basis for issuing sub-grants to eligible applicants in accordance with [based on] the cost sharing provisions established in the FEMA-State agreement.
- 2. **Project Application** - Once PW's are approved by DHS/FEMA; ADEM will be responsible for the final processing and distribution of the project application and for initiating payments in accordance with paragraph 3(a-c) below. ADEM will notify the applicant when their project application is approved and ready for signature. A project application will consist of the following documents:
 - a. ADEM cover letter
 - b. Project Application Summary (P.2)
 - c. Project Worksheet(s)
 - d. Project Completion and Certification Report (P.4)
- 3. **Project Funding**
 - a. **Small Projects** - Approved projects estimated to be less than \$57,500 (based on FY06) are considered small projects. (This amount will be adjusted annually to reflect changes in the Consumer Price Index for all Urban Consumers published by FEMA in the Federal Register before October 1, and by the Department of Labor.) Funding for small projects will be based on the federal share of the PW estimate. Approved funding will be processed for payment once these projects are approved by FEMA and the applicant has satisfied all initial application requirements.

- b. **Large Projects** - Approved projects estimated to be equal to or greater than \$57,500 are considered large projects. (This amount will be adjusted annually as indicated in paragraph VII., C., 2., a. above.) Funding for large projects will equal the federal share of the actual eligible cost as verified through a review of the project's cost documents. Approved funding will be processed for payment following DHS/FEMA's approval of ADEM's review of the project.
- c. **Reimbursement of Funds** – An applicant may request reimbursement on any completed portion of an approved PW by completing the Project Completion & Certification Report (P4) included in the project application. An applicant will not receive more than the approved PW amount.
- d. **Advance of Funds** - An applicant may request an advance on an approved large PW by completing the "Advance of Funds" form. The total advance for any one PW will not exceed 75% of the Federal share. An advance request will be processed for payment once it has been approved by ADEM. The applicant will be required to refund any part of an advance that is not supported by cost documents and/or expended within the approved scope of the PW within 30 days of receiving the funds from ADEM.
- e. **Immediate Needs Funding (INF)** – This is normally a partial advance on emergency work items identified during the Preliminary Damage Assessment (PDA). When a PDA has taken place only those eligible applicants who were surveyed during the PDA are eligible to receive INF if requested by the State on behalf of the applicant. If a PDA has not taken place, the State may identify eligible applicants to receive INF funding. The State may request funding for these applicants on their behalf. INF is designed to assist the applicant in dealing with their urgent needs that will require payment by the applicant within the first 60 days after the declaration. It is not intended for those items that involve special considerations or items of work that will require longer than 60 days to complete. These items will be funded in the normal manner as individual projects. INF is calculated using the following formula:

Emergency work amount x 50% x 75% (or appropriate federal cost share) = INF
- f. **Insurance Requirements** – 44 CFR, Subpart 1 establishes requirements, which apply to disaster assistance provided by FEMA. Prior to approval of a FEMA grant for the repair, restoration or replacement of an insurable facility or its contents damaged by a major disaster:
 - 1. Eligible costs shall be reduced by the amount of any insurance recovery actually received or anticipated, relating to eligible costs. ADEM will base its determination of eligible costs on whether the insurance settlement is reasonable and proper, in ADEM's opinion.
 - 2. The full coverage available under the standard flood insurance policy from the National Flood Insurance Program (NFIP) will be subtracted from otherwise eligible costs for an insurable facility and its contents within the special flood hazard area.
 - 3. If eligible damages are greater than \$5,000 and as a condition for FEMA assistance, an applicant must obtain and maintain insurance to cover the assisted facility for the hazard that caused the major disaster in the amount

of the Project Worksheet estimate before deductions are made such as the flood insurance reduction or an insurance settlement.

4. Assistance will not be provided under Section 406 of the Stafford Act for any facility for which assistance was provided as a result of a previous major disaster unless all insurance required by FEMA as a condition of previous assistance has been obtained and maintained. Not even the deductible amount, or damages in excess of the NFIP limits, or for flood damaged items not covered by standard NFIP policy will be eligible.

- g. **Recouping of Federal Funds** - If an approved PW is totally or partially deobligated, the applicant will be notified as soon as possible. Reimbursement to ADEM will be requested once a supplemental PW (deobligating the approved funding) is processed.

4. **Funding Options**

- a. **Improved projects** – An applicant may submit requests for improved projects to ADEM. These requests will be forwarded to FEMA for a determination. This request should contain:

- (1) The reason for requesting an improved project.
- (2) A description of the proposed work.
- (3) A schedule of work.
- (4) A cost estimate.
- (5) Necessary assurances to document compliance with the special considerations such as the NEPA and historic review processes.

If approved, funding will be limited to the Federal share of the approved PW amount. If disapproved, the applicant will be notified in writing why the request was denied and advised of their right to appeal the determination.

- b. **Alternate projects** - If an applicant submits a request to conduct an alternate project, ADEM will review the request for eligibility and will insure that the request contains the following information before forwarding it to FEMA with the appropriate recommendation:

- (1) The reason for requesting an alternate project.
- (2) A description of the proposed work.
- (3) A schedule of work.
- (4) A cost estimate.
- (5) Necessary assurances to document compliance with the special considerations such as the NEPA and historic review processes.

Requests for alternate projects should be submitted to ADEM prior to starting the proposed work. If the request is approved by ADEM, funding of an alternate project will be reduced to 75% of the Federal share of the approved PW estimate. If disapproved, the applicant will be notified in writing why the request was denied and advised of their right to appeal the determination.

If the alternate project is the result of unstable soils, funding of the alternate project will be 90% of the Federal share of the approved PW estimate.

5. **Time Limitations** - ADEM will ensure that approved work is completed within the following time frames:

Emergency Work	6 months
Permanent Work	18 months

6. **Time Extensions** - An applicant may request a time extension on any approved PW by submitting a written request to ADEM. Such a request should be submitted prior to the completion date currently in effect. ADEM may grant a time extension if the reason for delay is based on extenuating circumstances beyond the applicant's control or due to unusual project requirements so long as the additional time requested does not exceed the following time frames:

Emergency Work	6 months
Permanent Work	30 months

ADEM will notify DHS/FEMA of all time extensions that have been approved. Requests for time extensions beyond the State's authority will be forwarded to DHS/FEMA, in writing, for determination with ADEM's recommendation in accordance with the requirements of 44 CFR, Section 206.204. Work performed after the last approved completion deadline is subject to having funding reduced or withdrawn.

7. **Project Completion**

- a. Upon completion of a large project, the applicant will be required to submit a project cost summary to ADEM that lists all labor, equipment, materials and contract costs associated with making needed repairs. A member of the ADEM Recovery staff will conduct a review of the project's documentation to verify the actual project cost. If a large project was 100 percent complete at the time the PW was prepared, the eligible cost was based on actual cost information and the applicant is not claiming additional funding, no further review by ADEM will be necessary.
 - b. Upon completion of all approved work, the applicant will be required to submit the Project Completion and Certification Report (P.4) to ADEM certifying that all work has been completed in accordance with funding approvals and that all claims have been paid in full.
 - c. If an approved project is not completed, the applicant will be required to return the federal funding that was provided for that project in accordance with paragraph VII., D., 3., g.
8. **Cost Overruns** - ADEM will verify all significant net cost overrun appeals submitted by the applicant (on small projects) by conducting a review of all approved small PW's within the applicant's project application. ADEM will base its recommendation for additional funding on the information obtained during the review and will forward a Net Small Project Cost Overrun PW to DHS/FEMA for final determination.
9. **Disputes/Conflict Resolution** – In order to expedite funding and minimize applicant appeals, the following conflict resolution process should be followed:

- a. If an AZPAC has been assigned, the applicant should notify this individual of the unresolved issue.
 - b. The Applicant Liaison should work to resolve the issue with the AZPAC. If the issue remains unresolved, the Applicant Liaison should notify the State PAO.
 - c. The State PAO should work to resolve the issue with the FEMA PAO. If the issue remains unresolved, the State PAO should notify the SCO/GAR.
 - d. The SCO/GAR should work to resolve the issue with the FCO.
 - e. Only after all these steps have been taken will the applicant be referred to the appeal process.
10. **Appeals** - Upon receipt of an appeal from the applicant, ADEM will review the material submitted, make such additional investigations as necessary, and will forward the appeal with a written recommendation to FEMA within 60 days. An appeal must be submitted by the applicant within the following time frames:
- a. **Any ADEM/DHS/FEMA determination** - 60 days from the date of written notice of the determination being appealed
 - b. **Cost overrun** - 60 days from the date the last project was completed (small projects only)
 - c. **Second/Final Appeals** - 60 days from the date of written notice of the determination made on the first appeal.
11. **Final Inspection** - A final inspection will be conducted on all PW's once the projects have been completed and the project cost summary has been submitted (unless the PW was 100% complete at the time it was prepared in accordance with paragraph VII. D., 7., a.). Based on the type of work involved, the ADEM reviewer may be authorized to conduct the final inspection at the time the project is being reviewed. For those projects of a technical nature, a qualified member of the applicable State agency to which the project pertains will conduct the final inspection. The final inspection should be completed as soon as practical following the receipt of the project cost summary from the applicant.
12. **Audit Requirement** - Audit requirements will be in accordance with 44 CFR Part 14 or OMB Circular A-110, as appropriate. The State of Arizona requires an audit by the Division auditor in accordance with A.R.S. § 26-316.
- a. Members of the ADEM Recovery staff will conduct a review of all large and small projects with significant cost overruns once those projects are completed. Applicants expending \$300,000 or more in total Federal financial assistance in a fiscal year will be required to have an audit made in accordance with the Single Audit Act Amendments of 1996 - OMB A133.
 - b. Applicants will be required to provide their assigned cognizant State agency or ADEM with a copy of the Single Audit.

E. Records and Reports

1. **Progress Reports** - ADEM will submit a quarterly progress report to DHS/FEMA, which will contain the status of all large projects, which have not received final payment. The first quarterly report will be submitted three months from the date the

DFO was opened, or on a quarterly schedule mutually agreed upon by the State and FEMA PAO's.

2. **Project Close-out** - Each project application will be closed-out once it is determined that all work has been completed, all payments have been made, all necessary documents have been received and no further action is pending or anticipated. ADEM will notify FEMA when a project application is closed-out.
3. **Financial Status Report (FEMA 20-10)** - Quarterly and final financial reports will be submitted to FEMA for State administered disaster assistance programs authorized by the Stafford Act.
4. **Project Documentation** - The applicant will be required to keep complete records of all work (i.e. receipts, checks, job orders, contracts, equipment usage documentation and payroll information) funded under the Public Assistance program for five years from the date the last project was completed or from the date final payment was received, whichever is later. During this five-year period, all approved PW's are subject to State and Federal audit/review.

VIII. EMERGENCY RESPONSE LEVELS / ACTION GUIDES

See State Emergency Operations Center Operating Procedures Guide.

IX. CONTINUITY OF GOVERNMENT

See State of Arizona Constitution.

X. DEVELOPMENT AND MAINTENANCE

This plan will be reviewed and updated annually. Amendments will be made to meet current policy guidelines, as required.

**ARIZONA DIVISION OF EMERGENCY MANAGEMENT
APPLICANT'S BRIEFING
FEMA-XXXX-DR-AZ**

A. GENERAL

- Sign-In Sheet
- Applicant Packet

B. OVERVIEW

The Public Assistance Program is a reimbursement program which provides funding on a percentage basis to eligible applicants to remove debris, perform emergency protective measures and restore facilities damaged as a result of a Presidentially declared disaster and whose damages are within an area authorized for Public Assistance. Funding under this program is limited to costs of debris removal, emergency protective measures and repairing or restoring damaged items / facilities to their pre-disaster condition (to current building code) and will only be provided once all other means of funding have been exhausted.

PART I

1. Applicants sign in, pick up packet and complete Request for Public Assistance (RPA) Form.
2. Meeting Outline:
 - Opening Remarks
 - a. Introduction
 - b. Review Applicant Briefing Packet
 1. Agenda
 2. Copy of Presentation
 3. FEMA Schedule of Equipment Rates
 4. Disaster Recovery Guidebook Handout (2 pages)
 5. Applicant Project Checklist
 6. Applicant's Agent Checklist
 7. Fact Sheet
 8. Copy of Governor's Proclamation (or Presidential)
 9. Request for Public Assistance Form (to be completed before they leave)
 10. Designation of Applicant Agent Form
 11. Arizona Administrative Code Title 8
 12. Audit Packet
3. Public Assistance Program Overview
 - a. 44CFR & Stafford Act (pages 1&117 of PA Policy Digest)
 - b. Slide Presentation (PA Overview approximately 45 minutes)

- c. Hand out P.A. Policy Digest Books – Note page reference numbers on the slide handout sheet on the bottom center of slide
- d. Questions & Answers

PART II

- 4. Kick Off Meeting
 - a. Scheduling
 - b. Main Points
 - 1. Project Eligibility
 - 2. Writing project worksheets (cost codes, etc.)
 - 3. Maintaining supporting documentation for Audit
 - 4. Communicating Project Status
 - 5. Project Inspection and Request for Funding
 - c. Who should attend? This meeting is directed toward those individuals who will be held responsible for:
 - 1. Identifying and repairing damaged areas.
 - 2. Providing and maintaining documentation.
 - 3. Tracking and validating costs.
 - 4. Overseeing project status.
 - d. Forms and supporting documentation. (Details on completing the following forms will be discussed during the kickoff meeting including current FEMA cost codes.)
 - e. Overview of Forms
 - 32. Project Worksheet
 - 33. Project Worksheet maps, sketches, etc. (if needed)
 - 34. Special Considerations
 - 35. Application for 406 Mitigation
 - Note: The 404 Hazard Mitigation Grant Program funding is available after the disaster but is not under the jurisdiction of the Public Assistance Program.
 - 36. Applicant Benefits Calculation Worksheet
 - 37. Force Account Labor Summary Record
 - 38. Force Account Equipment Summary Record
 - 39. Materials Summary Record
 - 40. Rented Equipment Record
 - 41. Contract Work Record
 - 42. Final Inspection Report
 - 43. Final Inspection Report Narrative
 - 44. Request for Payment
 - 45. Historic Review Assessment

PART III

- 5. Questions and Concerns
 - Applicant Contacts
 - Collect RPA's
 - Closing Remarks

ARIZONA DIVISION OF EMERGENCY MANAGEMENT DESIGNATION OF APPLICANT'S AGENT FORM

The intent of this **DESIGNATION** is to appoint an **APPLICANT'S AGENT** for the following term:

- ☐ For PCA No. _____ only ☐ For the period of ____ to ____ ☐ Until further notice
☐ Until further notice for HAZMAT incident

Applicant Name: _____

CERTIFICATION

I, _____, duly appointed and _____ of
(Authorizing Official's Name) (Title)

_____, do hereby certify that the information below is true
(Applicant Name)

and correct, based on a resolution passed and approved by the _____
(Governing Body)

of _____ on the _____ day of _____,
(Applicant Name) (day) (month) (year)

_____ has been designated as the Applicant Agent
(Name of Designated Applicant Agent)

to act on behalf of _____
(Applicant Name)

(Authorizing Official's Signature) (Title) (Date)

Designated Applicant's Agent

Name _____

Title/Official Position _____

Mailing Address _____

City, State, Zip _____

Daytime Telephone Number _____ Fax _____
(Please include area code and extension if not a direct number)

E-mail Address _____ Pager/Cell _____

For ADEM Use Only

Received By: _____
(Initials & Date)

Form # AZ PA 204-4

APPLICANT PROJECT CHECKLIST

(To prepare for State and/or Federal Inspectors)

In order to expedite the project process, applicants should take the following steps and be aware of the following procedures before the Kick-Off meeting (or first visit with the Federal/State inspectors):

- ____ 1. Mark the location of each damage project on a suitable map and develop a route of travel to each site. Segregate damage/work activities into the seven categories of work. The applicant should identify all damage/work projects before the Public Assistance Coordinators arrive.
- ____ 2. A list of projects broken down by small (< \$57,500) and large (≥ \$57,500) FY06.
- ____ 3. Ensure that the person designated to accompany the survey team is knowledgeable of the repairs already made and the location of all other damage sites, which need to be repaired.
- ____ 4. Have photographs, site sketches or drawings of each damage site available for the Public Assistance Coordinators (especially where work has already been performed).
- ____ 5. Compile a detailed breakdown of labor (including fringe benefits), equipment, and material costs for each project where work has been completed or is in progress. While a variety of forms can be used to summarize these items, the format chosen must document the type and location of work performed on a daily basis.
- ____ 6. Provide force account equipment use in a manner compatible with the FEMA Schedule of Equipment Rates. Keep damaged equipment and parts for a review and inspection by the survey team.
- ____ 7. List equipment, materials or inventory lost as a result of the disaster. Provide copies of estimates, bids, purchase orders, invoices, inventory records or other substantiating evidence to verify loss values or replacement cost.
- ____ 8. Be prepared to describe to the inspectors which projects will be repaired by contract and those, which will be repaired by force account. If a contractor's estimate/bid has been received, have it available for the Public Assistance Coordinators.
- ____ 9. If damaged facilities are to be restored in accordance with adopted codes or standards different from the original construction, provide Public Assistance Coordinators with copies of the appropriate standards.
- ____ 10. Provide Public Assistance Coordinators with policy information on insurance coverage and any proceeds received or anticipated.
- ____ 11. Notify ADEM as soon as possible, but no later than 60 days from the date of the initial Kick-off meeting, of any additional damage that has been identified.
- ____ 12. Be aware that a statement of non-concurrence must be attached to any project in which the local representative does not agree with the proposed scope of work.

APPLICANT AGENT CHECKLIST

This checklist was prepared to make the process of applying for and receiving disaster relief under the Public Assistance program as easy as possible. If you have any questions, please contact the ADEM Recovery Section.

ADMINISTRATION

- ___ Attend the applicant's briefing.
- ___ Contact other potential applicants within your county/city who sustained disaster related damages and have them contact ADEM as soon as possible (preferably within 30 days from the date the county was declared).
- ___ Ensure that an applicant's agent is designated.
- ___ Submit appeals in a timely manner.
- ___ Check on insurance coverage and determine the settlement amount, if any. Submit a proof of loss statement and copies of all insurance checks to ADEM.

WORK MONITORING

- ___ Review each Project Worksheet (PW) to become familiar with approved scope of work.
- ___ Give appropriate supervisors a copy of each PW.
- ___ Make approved repairs only or obtain ADEM/FEMA approval before changing/altering the approved scope of work.
- ___ Notify ADEM of significant cost overruns.
- ___ Follow proper bid and contract procedures. Ensure the contractor is not on the most current "List of Parties Excluded from current Federal Procurement or Non-Procurement Programs" published by the U.S. general Services Administration.
- ___ Complete work within allowable time periods.
- ___ Request a time extension by PW if needed.
- ___ Submit a project cost summary for each large PW that is completed.
- ___ Complete the Project Completion Report (P.4) once all approved work has been completed.

DOCUMENTATION

- ___ Maintain a separate folder for each PW.
- ___ Document repair costs at each work site as they occur.
- ___ Prepare Daily Activity Report from supervisor's daily logs.
- ___ Keep these documents for each work site as they occur:
 - Daily Activity Report for Labor, Equipment and Materials
 - Delivery Tickets
 - Invoices
 - Payroll Journals
 - Cancelled Checks
 - Daily Logs from Supervisors
- ___ Keep these documents for each PW done by contract:
 - Bid specifications
 - Bid advertisement
 - Bid summary sheet
 - Contract award documents
 - Invoices
 - Canceled Checks
 - Record of work inspections

STATE MANAGEMENT OF DISASTERS ADDENDUM TO THE DIVISION OF EMERGENCY MANAGEMENT PUBLIC ASSISTANCE ADMINISTRATIVE PLAN

FEMA-XXXX-DR-AZ

This addendum to the State Administrative Plan for Public Assistance provides for the State of Arizona's participation in FEMA's State Management of Disasters (SMD) Initiative. The SMD Initiative allows the State to administer FEMA's Public Assistance (PA) Program for selected disasters. This addendum specifically addresses how the State of Arizona will manage the recovery operations related to Disaster FEMA-XXXX-DR-AZ consistent with the current PA Administrative Plan and the recently executed Operational Agreement for SMD providing the following necessary variations and clarifications for proper implementation into the SMD Initiative.

Disaster Description

- On August 8, 2006, Pinal and Pima Counties were declared by the Governor, that a state of emergency exists due to the Summer 2006 Monsoons and Flooding beginning July 26, 2006 through August 4, 2006. The Governor amended the proclamation on DATE to include Gila and Graham and Navajo Counties. The President declared a major disaster declaration for Public Assistance in Pinal and Pima Counties on DATE.
- The estimated number of applicants is 25.
- The current total cost estimate for this disaster is \$11,503,994.

Staffing

Frank Navarette, ADEM Director
Chuck McHugh
Beth Zimmerman
Wendy McCalla
Bryan Brooks
Dennis Erickson
Les Ferguson
Bob McDonald
Glenn Stafford
Chuck Bowman
Jim Hicks
Alex McCord
Darlene Quihuis
Terri Miller
Judy Kioski
Barry Scott
Ron Ridgeway

AZ SCO/GAR
AZ DSCO/AGAR
AZ PAO/AGAR
AZ DPAO
AZ PAC
AZ PAC
AZ PAC
AZ PAC
AZ PAC
AZ PAC
AZ PO
AZ PO
AZ Environmental Specialist
AZ Finance Specialist
AZ Floodplain Reviewer
AZ Public Information Officer
AZ Information & Planning
AZ Information & Planning

Process Flow

1. Applicant Briefings are scheduled as follows:
 - Pinal County, August 23, 2006
 - Pima County, August 22, 2006
 - State Agencies, August 29, 2006
2. Kickoff Meetings are scheduled as follows:
 - Pinal County, August 29 – September 15, 2006
 - Pima County, August 22 – September 15, 2006
 - State Agencies, August 29, 2006
3. Request for Public Assistance Form submitted by applicants.
 - All applicants at the Applicant Briefing should complete this form and submit it to AZ PAC before leaving the briefing.
 - These forms are to be faxed/e-mailed to AZ DPAO when the applicant has completed the form for entry into NEMIS by FEMA Data Entry.
 - Deadline for submission of the Request for Public Assistance form is DATE.
4. Project Worksheets
 - Project worksheets are to be written in the field by the AZ PAC, with the applicant.
 - On a daily basis AZ PAC's will provide a copy of PW cover sheet and other necessary documents only, to AZ DPAO, for each project worksheet written.
 - AZ DPAO will forward to FEMA data entry.
 - FEMA data entry will scan documents into NEMIS. Once this is completed they will forward the project worksheet in NEMIS on to AZ PAC for review.
 - AZ PAC will review all project worksheets written in the Initial Review Queue established in NEMIS.
 1. Double check project worksheet data entry.
 2. Determine if any special considerations are required (i.e.; Floodplain, Environmental, 406 Mitigation, Historical, etc.)
 3. Make eligibility recommendations and enter any comments.
 4. Forward project worksheet out for next review.
 - The joint ADEM/FEMA Special Consideration Team and/or FEMA Insurance Specialist will review all PW's with indicated special considerations for resolution of those special considerations before approval.
 - Once AZ PAC has reviewed and forwarded project worksheet it will route to appropriate personnel.
 - FEMA will perform the 20% quality control review of each applicant's total project worksheets. Upon request, the AZ PAC will meet with the FTS for this review process.
 - Once a PW has completed the above process, it is then forwarded to the AZ PAO/AZ DPAO.
 - AZ PAO/AZ DPAO will review all comments, make final eligibility decision and forward project worksheets for approval by FEMA PAO/FEMA DPAO.
 - FEMA PAO/FEMA DPAO will move out of Final Review and obligation.
4. Obligation of Funds
 - Project Worksheets will be put into packages for obligation by FEMA PAO.
 - Project Worksheet packages will be moved from the Review Tab to the Approval Tab by FEMA Data Coordinator.
 - Project Worksheets are approved and forwarded to ES by FEMA PAO.

- Once approved the FEMA Data Coordinator processes obligation of funds.
 - FEMA notifies the State of Arizona that the process is complete; the State of Arizona is given a package number and package report.
5. Remote Access to NEMIS
- Access to NEMIS is available at the FEMA/STATE JFO.
 - Remote Access to NEMIS is available at the ADEM Recovery Office.
6. Case Management File
- FEMA Data Entry will initiate the case management file into NEMIS.
 - The AZ PAC is responsible for updating the case management file with current data.

Mitigation

Public Assistance 406 Hazard Mitigation will be reviewed on a case-by-case basis by the AZ PAO/FEMA PAO, and approved only when it meets guidelines and is likely to reduce damages from future similar disasters. (FEMA Policy 9526.1)

Environmental Compliance

Environmental Compliance screening will be provided by FEMA, at the request of the State of Arizona, for all PW's. The Special Consideration (SC) Team (ADEM/FEMA Environmental Specialist) will resolve all environmental, historic or hazard mitigation issues indicated on the PW SC Questionnaires including work on or affecting Indian Reservations, low income populations, involved in relocation, improved and alternate projects. The review process, the identification of roles and responsibilities will be implemented pursuant to Stipulation C (Environmental and Historic Preservation Compliance) of the Operational Agreement.

Insurance

If potential insurance issues are identified during the PDA an Insurance Specialist will be provided by FEMA at the request of the State of Arizona. The AZ PAC and FEMA Insurance Specialist will review insurance documents relating to damaged facilities.

Floodplain Review

The AZ floodplain reviewer will review all PW's for clearance.

Reporting

The AZ PAC or AZ DPAO will prepare and submit quarterly reports (in NEMIS) of each open large project on 01/15, 04/15, 07/15 and 10/15. The reports are available in NEMIS for review.

STATE OF ARIZONA
DIVISION OF EMERGENCY MANAGEMENT
PUBLIC ASSISTANCE ORGANIZATIONAL CHART

